FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTY, DOCKET NO. MASIMO.56DC1C1

APPLICATION NO. 10/791,683

CONFORMATION DISCLOSURE STATEMENT
BY APPLICANT

(USE SEVERAL SHEETS IF NECESSARY)

APPLICANT Diab et al.

FILING DATE March 2, 2004 GROUP 2621

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				U.S. PATENT DOCUMENTS			
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE
/EW/	1	6,725,075	04/2004	Al-Ali		1	
	2	RE38,492	04/2004	Diab, et al.			
	3	6,714,804	03/2004	Al-Ali, et al.			
	4	RE38,476	03/2004	Diab, et al.			
	5	6,699,194	03/2004	Diab, et al.			
	6	6,697,658	02/2004	Al-Ali			
	7	6,697,656	02/2004	Al-Ali			
	8	6,684,090	01/2004	Ali, et al.			
	9	6,678,543	01/2004	Diab, et al.			7.15
	10	6,671,531	12/2003	Al-Ali, et al.			
	11	6,658,276	12/2003	Diab, et al.			
	12	6,654,624	11/2003	Diab, et al.			
	13	6,650,917	11/2003	Diab, et al.		V	
	14	6,643,530	11/2003	Diab, et al.		٨	
	15	6,640,116	10/2003	Diab		Λ	
	16	6,632,181	10/2003	Flaherty, et al.			
	17	6,606,511	08/2003	Ali, et al.			
	18	6,597,933	07/2003	Kiani, et al.			
	19	6,584,336	6/2003	Ali, et al.			
	20	6,580,086	06/2003	Schulz, et al.			_
	21	6,542,764	04/2003	Al-Ali, et al.			
	22	6,541,756	04/2003	Schulz, et al.			
	23	6,526,300	02/2003	Kiani, et al.			
	24	6,525,386	02/2003	Mills, et al.	11		
	25	6,515,273	02/2003	Al-Ali	11		
	26	6,501,975	12/2002	Diab, et al.		\	
/EW/	27	6,470,199	10/2002	Kopotic, et al.	1/	1	

EXAMINER	/Eric Winakur/	DATE CONSIDERED	01/06/2008

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				U.S. PATENT DOCUMENTS			
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE
/EW/	28	6,463,311	10/2002	Diab	1	1	
	29	6,430,525	08/2002	Weber, et al.	1		
	30	6,397,091	05/2002	Diab, et al.	\prod		
	31	6,388,240	05/2002	Schulz, et al.			
	32	6,377,829	04/2002	Al-Ali	\prod		
	33	6,371,921	04/2002	Caro, et al.			
	34	6,360,114	03/2002	Diab, et al.			
	35	6,349,228	02/2002	Kiani, et al.			
	36	6,334,065	12/2001	Al-Ali, et al.			
	37	6,285,896	09/2001	Tobler, et al.			
	38	6,280,213	08/2001	Tobler, et al.			
	39	6,278,522	08/2001	Lepper, Jr., et al.			
	40	6,263,222	07/2001	Diab, et al.		V = I	
	41	6,256,523	07/2001	Diab, et al.		X	
	42	6,236,872	05/2001	Diab, et al.		7	
	43	6,229,856	05/2001	Diab, et al.		Λ	
	44	6,206,830	03/2001	Diab, et al.			
	45	6,184,521	02/2001	Coffin, IV, et al.			
	46	6,165,005	12/2000	Mills, et al.			
	47	6,157,850	12/2000	Diab, et al.			
	48	6,152,754	11/2000	Gerhardt, et al.			
	49	6,151,516	11/2000	Kiani-Azarbayjany, et al.			
	50	6,110,522	08/2000	Lepper, Jr., et al.			
	51	6,088,607	07/2000	Diab, et al.			
	52	6,081,735	06/2000	Diab, et al.			
	53	6,067,462	05/2000	Diab, et al.	\prod	1	
/EW/	54	6,036,642	03/2000	Diab, et al.		1	

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				U.S. PATENT DOCUMENTS		,	
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)
/EW/	55	6,011,986	01/2000	Diab, et al.			
Ī	56	6,002,952	12/1999	Diab, et al.			
	57	5,997,343	12/1999	Mills, et al.	1		
	58	5,995,855	11/1999	Kiani, et al.			
	59	5,940,182	08/1999	Lepper, Jr., et al.			
	60	5,934,925	08/1999	Tobler, et al.			
	61	5,919,134	07/1999	Diab			•
	62	5,890,929	04/1999	Mills, et al.			•
	63	5,860,919	01/1999	Kiani-Azarbayjany, et al.			
	64	5,842,981	12/1998	Larsen, et al.			
	65	5,823,950	10/1998	Diab, et al.			
	66	5,782,757	07/1998	Diab, et al.			
	67	5,769,785	06/1998	Diab, et al.			
	68	5,760,910	06/1998	Lepper, Jr., et al.		$\sqrt{}$	
	69	5,758,644	06/1998	Diab, et al.		Y	
	70	5,743,262	04/1998	Lepper, Jr., et al.		Λ	
	71	Des. 393,830	04/1998	Tobler, et al.		$\Lambda = 1$	
	72	5,685,299	11/1997	Diab, et al.			
	73	5,662,105	09/1997	Tien			
	74	5,645,440	07/1997	Tobler, et al.			
	75	5,638,818	06/1997	Diab, et al.			
	76	5,638,816	06/1997	Kiani-Azarbayjany, et al.			
	77	5,632,272	05/1997	Diab, et al.			
	78	5,494,032	02/1996	Robinson, et al.			
	79	5,490,505	02/1996	Diab, et al.			
	80	5,482,036	01/1996	Diab, et al.			
/EW/	81	5,458,128	10/1995	Pulanyi, et al.			

EXAMINER	(FT : 141')	DATE CONSIDERED	04/06/2000
	/Eric Winakur/	15.11.2.50.110.2.2.1125	01/06/2008

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<u> </u>				U.S. PATENT DOCUMENTS			
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)
/EW/	82	5,452,717	09/1995	Branigan, et al.	1		
	83	5,431,170	07/1995	Mathews			
	84	5,337,744	08/1994	Branigan			
	85	5,273,036	12/1993	Kronberg, et al.			
	86	5,259,381	11/1993	Cheung, et al.			
	87	5,246,022	09/1993	Prosser		·	
	88	5,057,695	10/1991	Hirao, et al.			
	89	5,054,495	10/1991	Uemura, et al.			
	90	5,042,499	08/1991	Frank, et al.			
	91	4,967,571	11/1990	Sporri			
	92	4,960,126	10/1990	Conlon, et al.		•	
	93	4,956,867	09/1990	Zurek, et al.			
	94	4,955,379	09/1990	Hall		V	
	95	4,951,680	08/1990	Kirk, et al.		1	
	96	4,949,710	08/1990	Dorsett, et al.		Λ	
	97	4,948,248	08/1990	Lehman		1	•
	98	4,942,877	07/1990	Sakai, et al.			
	99	4,934,372	06/1990	Corenman, et al.			
	100	4,928,692	05/1990	Goodman, et al.			
	101	4,927,264	05/1990	Shiga, et al.			
	102	4,913,150	04/1990	Cheung, et al.			
	103	4,911,167	03/1990	Coreman, et al.			
	104	4,907,594	03/1990	Muz			
	105	4,892,101	01/1990	Cheung, et al.			
	106	4,883,356	11/1989	deMey, II			
	107	4,883,353	11/1989	Hausman, et al.			
/EW/	108	4,869,254	09/1989	Stone, et al.		1	

EXAMINER /Eric Win	akur/	DATE CONSIDERED	01/06/2008				
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U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

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APPLICANT Diab et al.

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U.S. PATENT DOCUMENTS EXAMINER DOCUMENT NUMBER DATE NAME CLASS SUBCLASS FILING DATE INITIAL (IF APPROPRIATE) /EW/ 109 4,869,253 09/1989 Craig, Jr., et al. 110 4,867,571 09/1989 Frick, et al. 111 4,863,265 09/1989 Flower, et al. 112 4,860,759 08/1989 Kahn, et al. 113 4,859,056 08/1989 Prosser, et al. 114 4,858,199 08/1989 Griffith 07/1989 Hood, Jr. 115 4,848,901 116 4,824,242 04/1989 Frick, et al. 4,819,752 04/1989 117 Zelin 118 4,819,646 04/1989 Cheung, et al. 119 4,807,631 02/1989 Hersh, et al. 120 4,802,486 02/1989 Goodman, et al. 121 01/1989 4,800,495 Smith 122 4,799,493 01/1989 **DuFault** 123 4,781,200 11/1988 Baker 124 4,773,422 09/1988 Issacson, et al. 4,751,931 06/1988 125 Briller, et al. 126 4,723,294 02/1988 Taguchi 127 4,714,341 12/1987 Hamaguri, et al. 128 4,694,833 09/1987 Hamaguri 03/1987 129 4,653,498 New, Jr., et al. 130 4,649,505 03/1987 Zinser, Jr., et al. 4,617,589 10/1986 131 Weckenbrock 05/1986 132 4,586,513 Hamaguri 133 4,537,200 08/1985 Widrow 134 4,519,396 05/1985 Epstein, et al. 135 4,446,871 05/1984 /EW/ Imura

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FORM PTO-1449	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY, DOCKET NO. MASIMO.56DC1C1	APPLICATION NO. 10/791,683	
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	U.S. PATENT DOCUMENTS						
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)
/EW/	136	4,407,290	10/1983	Wilber	٨.	1	
1	137	4,305,398	12/1981	Sawa			
	138	4,266,554	05/1981	Hamaguri			
	139	4,243,935	01/1981	McCool, et al.			
	140	4,238,746	12/1980	McCool, et al.	1		
	141	4,095,117	06/1978	Nagy		7	
	142	4,086,915	05/1978	Kofsky, et al.			
	143	4,063,551	12/1977	Sweeney		\bigvee	
	144	3,998,550	12/1976	Konishi, et al.		٨	
	145	3,991,277	11/1976	Hirata			
	146	3,704,706	12/1972	Herczfeld, et al.			
	147	3,647,299	03/1972	Lavallee	17		
	148	3,638,640	02/1972	Shaw			
	149	2002/0077536 A1	06/2002	Diab et al.	17		,
/EW/	150	2002/128544 A1	09/2002	Diab et al.	\prod	\ \	

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EXAMINER		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANS	LATION
INITIAL							YES	NO
/EW/	151	0 341 327 A1	11/1989	European	1			
. ,	152	0 335 357	03/1989	European		7		
	153	EP 0 760 223 A1	08/1995	European		/		
	154	EP 0 761 159 B1	08/1996	European		7		
	155	DE 33 28 862 A1	02/1985	Germany		X		
	156	2 166 326 A	04/1986	United Kingdom	7			
	157	2 235 288 A	02/1991	United Kingdom				
	158	92/15955	09/1992	PCT	1	7		

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	DISCLOSURE STATEMENT APPLICANT	APPLICANT Diab et al.	
(USE SEVERAL	SHEETS IF NECESSARY)	FILING DATE March 2, 2004	GROUP 2621

EXAMINE							
/EW/	159	Braun, S., et al., "Mechanical Signature Analysis - Theory and Applications," pp. 142-145, 202-203 (1986)					
1	160	Chen. J., et al., "Adaptive System for Processing of Electrogastric Signals," <u>Images of the Twenty-First Centry</u> , Vol. 11, pp. 698-699, Seattle, WA, Nov. 9-12, 1989					
	161	Ferrara, E.R., "Fetal Electrocardiogram Enhancement by Time-Sequenced Adaptive Filtering," IEEE Transactions on Biomedical Engineering, Vol. BME-29, No. 6, June 1982					
	162	Glover, Jr., J.R., "Adaptive Noise Canceling of Sinussoidal Interferences," A Dissertation Submitted to the Department of Electrical Engineering and the Committee on Graduate Studies of Stanford University in Partial Fulfillment of the Requirements for the Degree of Doctor of Philosophy, pp. iii-82 (1975)					
	163	Harris, et al., "Digital Signal Processing with Efficient Polyphase Recursive All-Pass Filter," International Conference, Florence, Italy, (September 26,1991)					
	164	Hendry, S.D., "Computation of Harmonic Comb Filter Weights," IEEE Transactions on Signal Processing, Vol. 41, No. 4, April 1993					
	165	Jingzheng, O., et al., "Digital Processing of High-Resolution Electrocardiograms-Detection of His Purkinje Activity From the Body Surface," Biomedizinische Technik, Vol. 33, No. 10, pp. 224-230, Berlin, Germany, October 1, 1988					
	166	Li, G., "A Stable and Efficient Adaptive Notch Filter for Direct Frequency Estimation," IEEE Transactions on Signal Processing, Vol. 45, No. 8, August 1987					
	167	Nehorai, A., "Adaptive Comb Filtering for Harmonic Signal Enhancement," IEEE Transactions on Acoustics, Speech, and Signal Processing, Vol. ASSP-34, No. 5, October 1986					
	168	Nehorai, A., "A Minimal Parameter Adaptive Notch Filter With Constrained Poles and Zeros," IEE Transactions on Acoustics, Speech, and Signal Processing, Vol. ASSP-33, No. 4, August 1985					
	169	Pau, L.F., "Acoustic and Vibration Monitoring," Failure Diagnosis and Performance Monitoring, Chapter 13, pp. 295- 299 date unknown					
	170	Varanini, M., et al. "A Two Channel Adaptive Filtering Approach for Recognition of the QRS Morphology," pp. 141-144, Proceedings of the Computers in Cardiology Meeting, Venice, Institute of Electrical and Electronics Engineers, Sept. 23-26, 1991					
	171	Widrow, B., "Adaptive Noise Canceling: Principles and Applications," Proceedings of IEEE, Vol. 63, No. 12, December 1975					
	172	Wukitsch, M.W., et al., "Pulse Oximetry: Analysis Theory, Technology, and Practice," Journal of Clinical Monitoring, Vol. 4, No. 4, pp. 290-301 (October 1988)					
	173	Yelderman, M., et al., "Ecg Enhancement by Adaptive Cancellation of Electrosurgical Interference," pp. 1-21 date					
	174	Yelderman, M., et al., "Sodium Nitroprusside Infusion By Adaptive Control," Adaptive Control by Inverse Modeling, Unkr Conference Record: 12 th Asilosor Conference 90 (1978)					
	175	Yu, C., et al., "Improvement in Arterial Oxygen Control Using Multiple Model Adaptive Control Procedures," pp. 878- 883 date unknown					
	176	United States District Court - Civil Minutes, Case No. SA CV 99-1245 AHS (Anx), Masimo v. Mallinckrodt and Nellcor Puritan Bennett, Dated 10/04/00					
/EW/	177	United States Courts of Appeals for the Federal Circuit - Opinion, Case No. 01-1028, -1084, Masimo v. Mallinckrodt, Inc. and Nellcor Puritan Bennett, Inc., Decided: 08/08/01					

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EXAMINER INITIAL	The bocoments inocomo Admor, the ball and the boco, e.o.)					
/EW/		Findings of Fact and Conclusion of Law Regarding Masimo's Motion for Preliminary Injunction, <i>Masimo v. Mallinckrodt Inc.</i> , et al., U.S. District Court, Central District of California (Southern Division), Civil Action No. SA-CV-99-1245 AHS (Anx), filed November 2, 2000 (REDACTED)				
· [179	Nellcor's Third Amended Complaint for Patent Infringement date unknown				
	180	Nellcor's and Mallinckrodt's Amended Complaint for Patent Infringement date unknown				
	181	Nellcor's and Mallinckrodt's Amended and Supplemental Answer and Counterclaims to Masimo Corporation's First Amended Complaint in Case No. CV-01-7293-MRP (AJWx) date unknown				
	182	Nellcor's and Mallinckrodt's First Amended and Supplemental Reply and Counterclaims to Counterclaims of Masim Corporation date unknown				
	183	Non-Confidential Reply Brief of Defendants-Cross Appellants Mallinckrodt Inc. and Nellcor Puritan Bennett, Inc. dated February 22, 2001				
	184	Nellcor's and Mallinckrodt's Reply Claim Construction Brief on the Patents-In-Suit dated October 18, 2002				
	185 Nellcor's and Mallinckrodt's Opening Claim Construction Brief on the Patents-In-Suit dated September 16, 200					
	186	Non-Confidential Brief of Defendants-Cross Appellants Mallinckrodt Inc. and Nellcor Puritan Bennett, Inc. dated January 22, 2001				
	187	Non-Confidential Brief of Plaintiff-Appellant Masimo Corporation dated December 8, 2000				
	188	Non-Confidential Reply Brief of Plaintiff-Appellant Masimo Corporation dated February 6, 2001				
	189 Memorandum of Decision and Order Re: Claim Construction; Motion to Strike Masimo's Declarations dated February, 2003					
/EW/	190	Copending U.S. Application No. 09/195,791, filed on November 17, 1998 (Atty. No. 7CP1C5), and pending claims.				

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